

| [NODIS Library](#) | [Organization and Administration\(1000s\)](#) | [Search](#) |



NASA Procedural Requirements

COMPLIANCE IS MANDATORY

NPR 1400.1E

Effective Date: July
15, 2011

Expiration Date: July
15, 2016

[Printable Format \(PDF\)](#)

Request Notification of Change

(NASA Only)

Subject: NASA Directives and Charters Procedural Requirements

Responsible Office: Office of Internal Controls and Management Systems

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) |
[AppendixB](#) | [AppendixC](#) | [AppendixD](#) | [AppendixE](#) | [AppendixF](#) | [ALL](#) |

Chapter 2. Responsibilities

2.1 Administrator

2.1.1 Only the Administrator signs NPDs.

2.2 Deputy Administrator

2.2.1 The Deputy Administrator, or designees, serves as the Agency-level Directives Resolution Official to resolve impasses, such as nonconcurrences and other issues that cannot be resolved at the organizational level.

2.3 Associate Administrator for Mission Support Directorate

2.3.1 The Associate Administrator for Mission Support Directorate has overall responsibility for the NASA Directives System.

2.4 Officials-in-Charge (OIC) of Headquarters Offices

2.4.1 OICs of Headquarters Offices shall:

- Determine their organization's need for establishing new Agency-level directives.
- Ensure that staff responsibilities are assigned to create or revise directives.
- Submit directives for official review and secure concurrences through NODIS.
- Ensure that Agency-level directives under their responsibility are reviewed for

continuing need, applicability, and accuracy at least once every five years.

- e. Approve NPRs under their responsibility after concurrences from officials within the Office of the Administrator are obtained.
- f. Cancel Agency-level directives under their responsibility when they are no longer needed.
- g. Designate a Directives Manager (DM) to assist, guide, and monitor the organization's directives activities.
- h. Determine which Agency-level directives their office should review during the official review and approval process.
- i. Evaluate and disposition all waivers to Agency-level directives under their responsibility, in accordance with the process described in paragraph 4.2 of this NPR.
- j. Ensure compliance with Agency-level directives and ensure that their directives do not conflict with material provided in other Agency-level directives.

Note: The OIC of the Headquarters Office may delegate the Responsible Office designation and responsibilities. Directives considered as under their responsibility for OICs of Headquarters Offices include all directives for which the Responsible Office reports to the OIC of the Headquarters Office.

2.5 Center Directors

2.5.1 Center Directors, or designees, shall:

- a. Ensure compliance with Agency-level directives and ensure that Center-level directives do not conflict with material provided in Agency-level directives.
- b. Designate a Center DM as a point of contact to assist, guide, and monitor directives activities.
- c. Determine which Agency-level directives their Center should review during the official review and approval process.
- d. Be the signature authority for Center-level directives.

2.6 NASA General Counsel

2.6.1 The NASA General Counsel shall:

- a. Review for compliance with the law and comment on all Agency-level directives during the process for coordinating and approving new or revised Agency-level directives.
- b. Confirm that authorities, applicable documents, and references cited in Agency-level directives are formatted correctly, per paragraphs 3.3.2.
- c. Concur on Agency-level directives prior to signature by the approving NASA official.

2.7 Inspector General

2.7.1 The Inspector General, in accordance with the Inspector General Act of 1978, 5

U.S.C. App. § 4(a)(2), as amended, shall review and, as necessary, comment on each Agency-level directive during the official review and approval process to identify possible impacts on effectiveness of and efficiency in the administration and operations of NASA programs and prevent fraud, waste, and abuse in NASA programs.

2.8 NASA Chief Financial Officer

2.8.1 The NASA Chief Financial Officer shall:

- a. Review to ensure proper financial, resource (including budget, strategic planning, and performance), and acquisition consideration and comment on all Agency-level directives during the process for coordinating and approving new or revised Agency-level directives.
- b. Concur on Agency-level directives prior to signature by the approving NASA official.

2.9 Assistant Administrator for Human Capital Management

2.9.1 The Assistant Administrator for Human Capital Management shall coordinate the review of all proposed Agency-level directives with the national offices of Federal labor organizations in addition to conducting its own review and submitting a concurrence on these documents.

2.10 Assistant Administrator for Procurement

2.10.1 The Assistant Administrator for Procurement shall review and concur on all Agency-level directives to determine acquisition law or regulation impacts or information collection requirements.

2.11 Assistant Administrator for Internal Controls and Management Systems

2.11.1 The Assistant Administrator for Internal Controls and Management Systems implements and maintains the NASA Directives System and establishes and enforces the policies and requirements in NPD 1400.1 and this NPR. The Assistant Administrator for Internal Controls and Management Systems shall:

- a. Verify compliance with the requirements contained in this NPR by:
 - (1) Monitoring the processing of each Agency-level directive through NODIS and the subsequent signature process to ensure that all process steps and requirements of this NPR have been completed correctly by the process participants. Verification Matrix A in Appendix C is used to verify compliance with process requirements.
 - (2) Reviewing the contents of each Agency-level directive during the NODIS review by:
 - (a) Verifying that the content and structure requirements have been met using Verification Matrices B-1 and B-2 in Appendix C.
 - (b) Forwarding results to the Responsible Office for corrective action.
 - (c) Confirming that corrective actions are completed.
 - (3) Conducting spot-checks to review Center-level directives and implementation of

Center-specific verification activity every three years. Verification Matrices C-1 and C-2 in Appendix C are used to verify that Center-level directives comply with the requirements of this NPR.

b. Assist and support the Deputy Administrator in the role as Agency-level Directives Resolution Official.

c. Verify the completeness of the Agency-level directive signature package when it goes to the responsible NASA official for signature to ensure that:

(1) All comments received from reviewing organizations during the review and approval process for Agency-level directives are dispositioned and that the dispositions are provided to the reviewing organizations.

(2) An explanation for nonconcurrences is documented and available in the directive's signature package.

d. Concur on Agency-level directives when submitted for signature.

e. Track, monitor, and report activities associated with processing Agency-level directives.

f. Ensure that Agency-level directives are coordinated, approved, and published within established timelines, withdrawing directives from coordination if not submitted for approval by established suspense dates and approving requests for extensions on established suspense and expiration dates.

g. Notify Responsible Offices when Agency-level directives under their authority are approaching expiration and request that directives be revalidated, revised, or cancelled as follows:

(1) Notify DMs six months prior to expiration.

(2) Notify Officials-in-Charge two months prior to expiration if no action is taken.

h. Distribute notifications when new, revised, and revalidated directives are approved and when interim directives are issued.

i. Ensure document control for Agency-level directives through maintenance of the NODIS library, the NODIS database, and signed approval packages.

j. Train and assist DMs and directives writers in the performance of their duties.

k. Monitor identified conflicts among directives to ensure resolution.

l. Maintain and dispose of all official files associated with approved Agency-level directives, in accordance with NPR 1441.1, NASA Records Retention Schedules. See paragraphs 4.3.8.1 through 4.3.8.3 for a list of official files.

2.12 Responsible Offices

2.12.1 The Responsible Offices shall prepare NASA directives in accordance with the requirements of this NPR to include the following:

a. Consulting the Office of Procurement when drafting new or revised requirements directed toward contractors to determine acquisition law or regulation impacts or information collection requirements.

b. Submitting NPRs for formal review only when there is an approved NPD that provides the authority for the NPR. Responsible Offices at the Centers may issue a CPR if there is an approved NPD, NPR, or CPD that provides the authority for the CPR.

Note: There need not be a separate NPD for each NPR or CPD for each CPR. An NPD or CPD may provide the authority for more than one NPR or CPR, respectively.

c. Submitting, at the time of request for official review and approval of directives, cost/benefit impacts (e.g., financial, human resources, technical) to implement new requirements to avoid the potential for unintended consequences (see paragraph 4.3.6.1f).

d. Maintaining currency for the directives they publish.

e. Ensuring that compliance with the requirements contained in Agency-level directives under their responsibility are verified.

Note: Spot-checks, checklists, internal/external audits, or self-assessments may be used to ensure compliance.

f. Ensuring that Agency-level directives under their responsibility meet the requirements of this NPR, including responding to corrective actions.

g. Submitting directives signature packages for final approval by the established suspense dates.

h. Requesting extensions, on a suspense date, 10 calendar days prior to the suspense date to submit signature package in order to obtain more time to resolve and respond to substantive issues related to the directive.

2.12.2 The Responsible Offices at the Centers shall prepare Center-level directives in accordance with the requirements of this NPR, excluding paragraphs 2.12.1e, f, & h.

Note: Policy or procedural requirement formulation shall be done by a NASA civil servant.

2.13 Directives Managers

2.13.1 DMs are the points of contact in each Headquarters organization and NASA Center for matters pertaining to NASA directives. They are responsible for supporting OICs of Headquarters Offices, Headquarters senior managers, and Center Directors with directives activities and issues. This includes ensuring that directives are prepared and coordinated in accordance with the requirements in this NPR. Specifically, DMs shall:

a. Manage the directives process at their location.

b. Provide assistance to employees at their location with accessing NODIS.

c. Coordinate the official review of directives at their location.

d. Determine who should review Agency-level directives and ensure that the reviewer(s) are provided with the directive and the corresponding NASA Headquarters (NHQ) Form 184, NASA Directive Request Summary, that summarizes significant changes and contains cost/benefit impacts accessible from NODIS.

- e. Consolidate the reviewers' comments into the official response.
- f. Document and initiate resolution of conflicts among directives (Agency-level and Center-level) that are identified or reported.

Note: Conflict resolution for Agency-level directives is initiated by contacting the DM of the Responsible Office(s) for the directive(s) in conflict and notifying the Office of Internal Controls and Management Systems.

- g. Coordinate quality reviews of their organization's Agency-level directives with the respective Headquarters Quality Control Liaison.
- h. Coordinate with directives writers to ensure that cost/benefit impact information to implement new/revised requirements is provided prior to submitting Agency-level directives for review.
- i. Coordinate their organization's interim directives and requirement waivers for approval and publication. See paragraph 4.2 for waiver requirements and paragraph 4.5 for interim directives requirements.
- j. Participate in DM meetings to remain aware of changes in the NASA directives process and NODIS.

2.13.2 In addition to the responsibilities listed in paragraph 2.13.1, excluding paragraphs 2.13.1g-h, Center DMs shall:

- a. Manage and maintain a current online repository of Center-level directives.
- b. Maintain a master list of Center-level directives.
- c. Ensure that Center-level directives are approved and published in accordance with established procedures.
- d. Track and monitor activities associated with processing NASA directives.
- e. Train and assist directives writers and reviewers in the performance of their duties.
- f. Maintain and dispose of case files for all Center-level directives in accordance with NPR 1441.1, NASA Records Retention Schedules (see paragraph 4.7).

Note: Policy or procedural requirement coordination can be done by a NASA civil servant or a NASA contractor.

2.14 Headquarters Quality Control Liaisons

2.14.1 The Quality Control Liaison for the Responsible Office shall ensure that Agency-level directives signature packages and the Action Document Summary are properly prepared (e.g., grammar, formatting, timeliness).

2.15 Headquarters Executive Secretariat

2.15.1 The Headquarters Executive Secretariat, responsible for managing all correspondence and communications addressed to or signed by officials within the Office of the Administrator, shall:

- a. Conduct a final quality review of Agency-level directives prior to approval and

signature by the Agency official.

b. Provide all editorial changes in conformance with NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, and ensure incorporation by the Responsible Office.

2.16 Agency Records Officer

2.16.1 The Agency Records Officer in the Office of the Chief Information Officer shall coordinate with the Office of Internal Controls and Management Systems, the Executive Secretariat, and the Office of the General Counsel on decisions affecting the numbering of NASA directives in accordance with the ten subject categories defined in NPR 1441.1, NASA Records Retention Schedules.

Note: Center DMs should contact their respective Center Records Officer for assistance.

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) |
[AppendixA](#) | [AppendixB](#) | [AppendixC](#) | [AppendixD](#) | [AppendixE](#) |
[AppendixF](#) | [ALL](#) |

| [NODIS Library](#) | [Organization and Administration\(1000s\)](#) | [Search](#) |

DISTRIBUTION: **NODIS**

This Document Is Uncontrolled When Printed.

Check the NASA Online Directives Information System (NODIS) Library to Verify that this is the correct version before use: <http://nodis3.gsfc.nasa.gov>
